



Smithsonian Institution
The Board of Regents

Chancellor
The Chief Justice of
the United States

April 30, 2013

Chair
France A. Córdova
New Mexico

The Honorable Charles E. Grassley
Ranking Member
Committee on the Judiciary
United States Senate
Washington, D.C. 20510

Vice Chair
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Illinois

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The Vice President of
the United States

The Honorable
Thad Cochran
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The Honorable
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The Honorable
Tom Cole
Oklahoma

The Honorable
Sam Johnson
Texas

Barbara M. Barrett
Arizona

Stephen M. Case
Virginia

Shirley Ann Jackson
New York

Robert P. Kogod
Washington, D.C.

David M. Rubenstein
Maryland

Roger W. Sant
Washington, D.C.

Patricia Q. Stonesifer
Washington State

Dear Senator Grassley:

The Board of Regents appreciates the opportunity to respond to your letter, dated April 24, 2013, regarding the Inspector General's recent audit report on Senior Executive Travel.

We were gratified that in the audit, the Office of Inspector General found no abuses or material violations of Smithsonian travel policies; that the trips reviewed were for authorized purposes; and that travel expenses incurred, including those cited in your letter, were appropriate.

The Board agreed in January that the Secretary should earn leave in a manner similar to the leaders at other Federal entities, and has modified the travel policy accordingly. This is a decision with which the Inspector General agrees. Pursuant to your request, in the event that the Board takes further action on this policy, we will notify your office.

Sincerely,

France A. Córdova

cc: Board of Regents
Scott Dahl, Inspector General



Smithsonian Institution

Board of Regents

The Chief Justice
of the United States,
Chancellor

Vice President
of the United States
Richard B. Cheney

The Honorable
Thad Cochran

The Honorable
Christopher J. Dodd

The Honorable
Patrick J. Leahy

The Honorable
Xavier Becerra

The Honorable
Sam Johnson

The Honorable
Doris Matsui

Eli Broad

February 1, 2008

The Honorable Dianne Feinstein
Chairman
Committee on Rules and Administration
United States Senate
331 Hart Senate Office Building
Washington, DC 20510

VIA FACSIMILE, 202-228-3953

The Honorable Robert Bennett
Ranking Member
Committee on Rules and Administration
United States Senate
481 Russell Senate Office Building
Washington, DC 20510

VIA FACSIMILE, 202-224-3036

Phillip Frost

Shirley Ann Jackson

Robert P. Kogod

Roger W. Sant

Alan G. Spoon

Patricia Q. Stonesifer

Dear Chairman Feinstein and Senator Bennett:

Thank you for your letter of December 17, 2007, in which you requested further information on several topics relating to the Smithsonian Institution's facilities maintenance and revitalization challenges. I have consulted with Acting Secretary Samper and, with the help of his staff, am pleased to respond to your request with the following information and attachments.

In your letter, you requested "a comprehensive, prioritized list of every maintenance and capital project that remains to be completed, regardless of funding source," and "a list of outstanding projects to expand the Institution, either by purchasing new sites, renovating existing Smithsonian property, or building new facilities." The attached table addresses both those questions.

The table displays the current ten-year \$2.5 billion revitalization and maintenance programs, by building and priority. This list represents a refocusing of attention on revitalization and maintenance requirements, and is philosophically consistent with National Research Council standards for maintenance and the 2001 National Academy of Public Administration's target regarding revitalization. It deviates somewhat from the Government Accountability Office report of September 2007 in that it does not include construction and anti-terrorism needs, and we have updated the revitalization number to reflect work completed and new requirements, consistent with our fiscal year 2009 budget request. For consistency, the timeframe has also been adjusted from 6 years to 10 years. An explanation of the priority categories is also included.

The table also shows a comprehensive list of projects beyond revitalization and maintenance that are currently underway, including trust-funded components. This includes the Arts & Industries Building, the National Museum of African American History and Culture, anti-terrorism protection, and several others. The table covers all active projects involving federal and/or private funding. However, as we continue to follow best practices in master planning and space utilization design, other projects will come to light.

At the December 12 hearing we discussed the difference between the amount needed for annual maintenance and revitalization and the amount needed to clear up revitalization and maintenance deferred from prior years. Of the total ten year need of \$2.5 billion, \$900 million is needed to eliminate the urgent and essential capital repairs deferred from prior years and \$1.6 billion is needed to fund ongoing maintenance (\$1 billion) and future capital repair projects (\$600 million). Once the deferred amount is eliminated, we will need \$200 million each year to maintain facilities in good condition - - \$100 million for maintenance and another \$100 million for capital repairs. These amounts are, of course, subject to inflation, and may grow larger the longer the program remains underfunded.

Please note that the cost of projects reflected in the table is preliminary at this point. As is the case in the construction industry generally, a cost estimate is not reliable until it has reached at least the 35% design stage, and is also subject to possible escalation of cost over time. In some cases plans are not yet far enough along to identify a possible range of cost. It also should be noted that the Institution's capital and maintenance programs are updated annually to reflect work completed and new or changed requirements. Thus the material presented in the table represents a point-in-time estimate only.

A comprehensive strategy to address the funding shortfall

Historically, the American public and the Smithsonian have been able to rely on the federal government to provide for the Institution's basic facilities maintenance and capital improvement needs, in addition to salaries and expenses. The Regents believe that this partnership must continue because it provides the only reliable source of operating funds, including funds for basic facilities maintenance and capital improvements. The Smithsonian's donors have responded very positively to this relationship and have recognized their responsibility by providing generous donations private gifts for its exhibits, education programs, and research, as well as new museums. For example, pursuant to congressional mandate, we raised \$100 million for construction of the National Museum of the American Indian,

and are preparing to raise several hundred million dollars for the new National Museum of African American History and Culture.

Some Members of Congress have indicated that the Federal budget cannot afford the additional \$1 billion over ten years that is needed to address the disrepair and deterioration of the Smithsonian's buildings. We recognize the gravity of this situation and the desire for us to turn directly to the American public to address this need. The Smithsonian also recognizes that there is a significant challenge in successfully attracting private dollars for capital improvements and maintenance. Yet, the Smithsonian believes that the American public has great interest in and passion for the Institution. Our responsibility to the American public is not only to provide safe, clean buildings but also to provide exciting exhibits and educational programs and to care for the national collections, all of which have equally dramatic and pressing needs. Therefore, the Smithsonian is preparing to launch a pan-institutional national campaign that will ask the American public to provide generous and extraordinary support to its collections, research, education programs, exhibitions, and facilities. In addition we are suggesting other smaller efforts to directly support our facilities needs, discussed below.

NATIONAL CAMPAIGN:

Any national campaign must be Smithsonian-wide in order to encompass all of our museums and research centers. This will be the first time the Smithsonian has undertaken such a comprehensive and ambitious fundraising effort. Typically, preparation of a campaign of this magnitude would require 2-3 years followed by a 5-year public campaign. Given the urgency of the need, however, we hope to adopt a faster schedule. We believe a campaign of this breadth and scope could raise substantial sums, but it is much too early for a solid estimate or to know how much could be raised for facilities.

For the first time, a campaign of this size will bring to the American public the story of the Smithsonian and its unique place in America. It will highlight the great cultural and research benefits for which the private support will be the catalyst. The Regents and Smithsonian leadership are excited about the campaign's potential and believe that the Smithsonian will emerge from it as a strengthened institution.

To prepare for this massive and ambitious endeavor, the Smithsonian will first need to ensure that the correct policies, procedures, infrastructure, budget and staff to undertake the huge task of launching the campaign are in place. Meetings will be held with SI management, with input from the Board of Regents, to identify the key programs and project targets for the fundraising efforts, based on

both the current and long-term needs of the Institution. It is expected that after the planning process, we will have an assessment of needs that will span our educational, exhibitions, collections care, outreach, research, and facilities programs. It is too early in the planning process to estimate who will give, how much, and to what areas of need. A campaign feasibility study will first need to be done to assist the Smithsonian in narrowing what will undoubtedly be a broad and ambitious set of needs that captures the imagination and hearts of our donors.

Smithsonian leadership and the Regents are committed to the success of this campaign. We must we also receive the same commitment from our National Board, museum and unit advisory boards, and others with a strong interest in our mission. We will identify and engage key campaign leaders and volunteers from across the country, and we look forward to seeking the support of Congress as we develop our plans.

An overview of the planning process is attached.

While the national campaign will be the center of our efforts, the Smithsonian is also going to implement additional efforts, described below, which, when combined together, form a strong funding strategy.

MAINTENANCE FEE ON GIFTS:

The Smithsonian is evaluating the application of a maintenance fee on donations. Donors supporting construction and renovation are more likely to accept a fee to support the maintenance of the facilities they are helping to fund. A fee on gifts in support of exhibits may also be accepted by donors and sponsors. However, donors to public programs, education, and collections acquisition may be less inclined to support this fee because they may intend that their gift solely fund a program, and not a facility.

SPECIAL EXHIBITION FEES:

An admission charge for entrance to blockbuster special exhibitions can raise revenue to offset operational expenses (utilities, exhibition rental fees, security, maintenance, supplies, etc.) and investment costs such as facility modifications related to the special exhibition. The National Museum of Natural History (NMNH) will be a pilot for special exhibition fees and the Smithsonian will monitor it closely. NMNH will charge admission to The Butterfly Pavilion when it opens in February. Prices will be \$6 for adults, \$5.50 for seniors and \$4.50 for children, with free admission on Tuesdays; all proceeds will support the costs of the exhibit.

ENERGY SAVINGS PERFORMANCE CONTRACTS (ESPC):

The Smithsonian can benefit from lower energy costs with the installation of more energy-efficient equipment. ESPCs are used for projects which provide an energy savings by replacing old, energy inefficient equipment with newer, more efficient equipment. A contractor finances the cost of implementing energy conservation measures and recoups his investment and makes his profit from the energy savings over a certain period of time, often 20 years or more. In FY 2007, the Smithsonian entered into one ESPC for energy saving improvements at the National Museum of American History and the National Museum of Natural History, and the Smithsonian will continue to look for ESPC opportunities.

COLLECTION BOXES:

For some time the Smithsonian's major museums have located collection boxes near the public entrances, inviting visitors to donate to the museums. The average annual contribution from these boxes has been about \$200,000, which has been used to fund various museum functions and programs. We are working on ways to make these boxes more attractive and effective, in hopes of increasing the amount of funds raised in this manner.

PUBLIC/PRIVATE PARTNERSHIPS:

A process is under way to find a partner to renovate the Arts and Industries Building. In early January, we received responses to our Request for Qualifications which we are currently evaluating. It is envisioned that the partner would bear all the costs of the renovation in exchange for the right to occupy the building. All plans of how to use the building by the partner must be approved by the Regents.

ENDOWMENT:

Endowments are established to provide for the ongoing and long-term health of institutions. The investment philosophy of an endowment is necessarily built around this responsibility. Sound investment philosophy resists the temptation to take advantage of short-term gains in order to preserve the endowment's principal for leaner times. The Smithsonian's endowment is small in comparison to our budget and to the endowments of other organizations our size.

The Smithsonian endowment may be considered as a possible source of funds for the national campaign. For example, it might provide seed money in the earlier

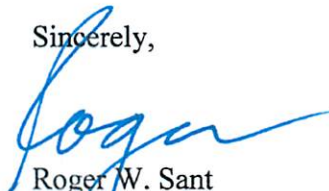
stages of the fundraising campaign, or fund the costs of the national campaign itself, for which we have few alternatives.

The endowment's investments have performed extremely well for the last several years, but the financial markets are currently extremely turbulent and care must be taken that the drain on the endowment is not beyond what can be recovered in investment earnings and to avoid creating a detrimental hole in the endowment that would hurt the Institution's programs for years to come.

I would be pleased to organize a detailed briefing for you and your staff with relevant Smithsonian staff to discuss these materials.

In conclusion, the Smithsonian is at a pivotal moment in time to capitalize on its new incoming leadership, a shared vision of excellence and purpose, and the support of Congress to provide needed resources for America's Smithsonian Institution for now and in decades to come. On behalf of my colleagues on the Board of Regents and the leadership and staff of the Smithsonian, thank you for your continued interest in this beloved Institution.

Sincerely,



Roger W. Sant
Chairman

CC: Cristián Samper

Enclosures (2)



Smithsonian Institution

Board of Regents

The Chief Justice
of the United States,
Chancellor

Vice President
of the United States
Richard B. Cheney

The Honorable
Thad Cochran

The Honorable
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Xavier Becerra

The Honorable
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The Honorable
Doris Matsui

Eli Broad

Anne d'Harnoncourt

Phillip Frost

Shirley Ann Jackson

Robert P. Kogod

Roger W. Sant

Alan G. Spoon

Patricia Q. Stonesifer

January 8, 2008

VIA FACSIMILE, 202-228-3953

The Honorable Dianne Feinstein
Chairman, Committee on Rules and Administration
United States Senate
331 Hart Senate Office Building
Washington, DC 20510

Dear Chairman Feinstein:

Thank you for your letter dated December 17, 2007, requesting several documents, including a comprehensive, prioritized list of all maintenance and capital projects; a comprehensive strategy that addresses the funding shortfall; and a list of all outstanding Smithsonian expansion projects.

I, along with Robert Kogod, chair of the Regents' Facilities Revitalization Committee, am working with Smithsonian staff to compile the requested information. We are committed to submitting this information in a timely manner and to ensuring that it is both complete and responsive to your request.

On behalf of the Board of Regents, we deeply appreciate your interest in the Smithsonian and support in addressing the Institution's pressing facilities revitalization issues.

Sincerely,

Roger W. Sant
Chairman, Executive Committee

CC: Cristián Samper

*Thanks for all your help.
I think we are going home
now.*

Smithsonian Institution Building
1000 Jefferson Drive SW
Washington DC 20560-0016
202.633.1869 Telephone
202.786.2515 Fax



Smithsonian Institution

Nell Payne
Director of Government Relations

April 30, 2013

The Honorable Sam Graves
Chairman
Committee on Small Business
United States House of Representatives
2361 Rayburn House Office Building
Washington, DC 20515

Dear Chairman Graves:

Secretary Clough has referred to me your April 16, 2013 letter which requests information documenting how the Smithsonian Institution intends to achieve compliance with section 15(k) of the Small Business Act, as revised by the National Defense Authorization Act of 2013 (NDAA), Public Law 112-239.

As you know, the Smithsonian Institution is a trust instrumentality of the United States incorporated by an Act of Congress and is not an executive agency subject to the Small Business Act. *Dong v. Smithsonian Institution*, 125 F.3d 877 (D.C. Cir. 1997), *cert. denied*, 118 S. Ct. 2311, 141 L. Ed. 2d 169, 524 U.S. 922 (1998). In this regard, the Smithsonian is authorized by Congress to enter into contracts to spend both federal appropriations and non-appropriated funds referred to as "trust funds." Trust funds arise from a number of sources, including transfers from external agencies and organizations that are restricted to particular projects or programs, donations, bequests, investment revenue and Smithsonian revenue-generating activities.

Although the Smithsonian is not an executive agency, it is committed to using small businesses and small disadvantaged businesses in all aspects of its contracting and procurement. Accordingly, the Smithsonian Institution has established and operates a Supplier Diversity Program (SDP) that carries out the functions required of executive agencies by the Small Business Act, including the recent revisions.

The revised Section 15(k) of the Small Business Act requires agencies to have a Director who holds a Senior Executive Service (SES) position, and reports to the head of the agency. The Smithsonian does not have SES positions. However, the Smithsonian's SDP is headed by a Director, who is a senior executive and reports directly to the Secretary of the Smithsonian. The SDP Director and Associate Director advocate for and support the Institution's small business procurement goals and accomplishments. In collaboration with the Director of the Smithsonian's Office of Contracting and Personal Property Management (OCON&PPM), the SDP Director and Associate Director implement and execute the applicable functions and duties under sections 8 and 15 of the Small Business Act, as well as Smithsonian policies on contracting with small businesses.

The Smithsonian Supplier Diversity Program office communicates with all Smithsonian units to assist small business concerns regarding payments or any other protections for contractors or subcontractors (including suppliers). The Associate Director manages a cadre of supplier diversity liaisons from each Smithsonian unit and small business utilization requirements are included in their performance plans and appraisals.

The Small Business Administration does not assign a procurement center representative to the Smithsonian Institution. That notwithstanding, the Associate Director is a full time GS-1102 Procurement Analyst who serves as the small business technical adviser and, in conjunction with the SDP Director, performs the functions and duties outlined in section 15(k)(10) through (15) of the Small Business Act as amended.

Because the Smithsonian is not covered by the Small Business Act, it does not submit reports designated in section 15(k)(16) to the Committee on Small Business of the House of Representatives and the Committee on Small Business and Entrepreneurship of the Senate. The Smithsonian reports its small business contracting achievements in the Federal Procurement Data System.

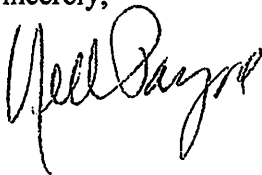
The Smithsonian is fully committed to the utilization of small businesses and will continue to look to the well-established body of federal statutes and regulations including the Small Business Act, as amended, for procurement guidance for its contracts and purchases involving the expenditure of appropriated funds. We will also continue to ensure that small businesses receive the maximum practicable opportunity to compete for contracts.

The utilization of small businesses and small disadvantaged businesses is among our key goals for the effective and efficient operation of the Smithsonian Institution. To this end, our Supplier Diversity Program goals are included in the Smithsonian's strategic plan and are in every procurement official's performance plan.

Thank you for your interest in the Smithsonian's use of small businesses and small disadvantaged businesses.

If you have further questions in this regard, please contact Cheryl Johnson in the Office of Government Relations at 202-633-5124 or johnsonch@si.edu.

Sincerely,

A handwritten signature in black ink, appearing to read "Neil Sayre". The signature is written in a cursive, flowing style with a large initial "N".



Smithsonian Institution

Nell Payne
Director of Government Relations

April 19, 2013

The Honorable Mary Landrieu
Chairman, Committee on Small Business and Entrepreneurship
United States Senate
428A Russell Senate Office Building
Washington, DC 20510

Dear Madam Chairman:

Secretary Clough has referred your request regarding the impact of reductions in spending pursuant to sequestration as required by the Budget Control Act of 2011 on large prime contractors and small business contractors working with the Smithsonian to my office for response. The overall sequestration reduction to the Smithsonian Institution is nearly \$41 million in fiscal year 2013. Below please find a summary of those contracts impacted to date by budget category.

Maintenance: The Smithsonian is deferring all remaining maintenance projects this year totaling approximately \$4 million. The impact to small and other socio-economically disadvantaged businesses is estimated to be approximately \$2 million.

Capital: The Smithsonian is reducing awards for facility capital projects by \$8.8 million, all of which was allocated for three large projects awarded to large businesses; the National Museum of African American History and Culture (NMAAHC), the National Zoological Park General Services Building, and the design of the National Museum of Natural History exhibit, *Deep Time*. Considering that our large prime contractors (construction or design) have the goal of awarding 23%-42% of subcontracts to small businesses and other socio-economically disadvantaged businesses, the impact is estimated to be approximately \$3 million not being awarded this year to small businesses. However, assuming that these contracts will be funded in subsequent year(s), there will be no impact to small business and other socio-economically disadvantaged businesses over the life of the contracts.

Security Guard Services: The Smithsonian is reducing the number of contract security guard posts by an estimated 10-27 positions. The contract is with a large business and the impact is between \$300,000 to \$800,000.

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P.O. Box 37012 MRC 019
Washington, DC 20013

Desktop Computers: The Smithsonian is reducing funds for the purchase of desktop computers. The contract is with a large business and the impact is approximately \$800,000.

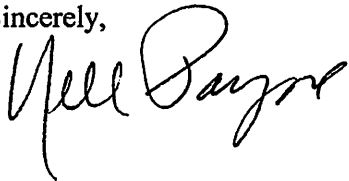
IT Contractor Support: The Smithsonian is reducing funds for contractor IT support. The contract is with a small business and the impact is approximately \$200,000.

The Smithsonian is taking steps to mitigate the effects of the sequestration on small businesses. We have held several small business fairs/venues this year, particularly for opportunities at our newest museum, NMAAHC. The Office of Contracting & Personal Property Management (OCon&PPM) is meeting monthly with the Office of Equal Employment and Minority Affairs (OEEMA) to review our small business goals and to discuss strategies to continue to reach out to small and other socio-economically disadvantaged businesses. OCon&PPM and OEEMA are meeting with the Smithsonian Web Masters in early May to discuss establishing new Indefinite Delivery Indefinite Quantity contracts with small and other socio-economically disadvantaged businesses.

For additional information or to answer any questions your committee may have, please contact me in the Smithsonian's Office of Government Relations at 202-633-5125 or paynen@si.edu.

Thank you for your inquiry.

Sincerely,

A handwritten signature in black ink, appearing to read "Nell Payne". The signature is fluid and cursive, with the first name "Nell" and last name "Payne" clearly distinguishable.



Smithsonian Institution

Nell Payne
Director of Government Relations

May 24, 2011

The Honorable Tom Harkin
Chairman, United States Senate Committee on
Health, Education, Labor and Pensions
404 Hart Senate Office Building
Washington, DC 20510

Dear Senator Harkin:

Thank you for your letter of May 10, 2011 to Secretary Clough and for the opportunity to provide you with information on accessibility for people with disabilities at the Smithsonian Institution. The letter was referred to me for response.

The Smithsonian serves a broad range of visitors with disabilities including the diverse hearing loss community. The Institution takes a multi-pronged approach to accommodations. Facilities and programs including exhibitions are designed to be accessible to broad audiences. The Institution also provides a full range of accessibility services to individuals on request to better meet their needs. Examples of accessibility accommodations and services routinely available to visitors who are deaf or have hearing loss include, but are not limited to, sign language interpreters, cued speech transliterators, oral interpreters, assistive listening devices (RF, Infrared and loops), as well as open captioning and real-time captioning (CART). Smithsonian policy on accessibility for people with disabilities uses the standards adopted for the Architectural Barriers Act (ABA) and the Americans with Disabilities Act (ADA) and the requirements of the Rehabilitation Act. The Institution has written guidelines on accessible design to assist staff in implementing the policy. These guidelines have been shared nationally and internationally as well as with the National Park Service (NPS). (b) (6)'s recommendations are appreciated but redundant to practices and procedures already in place at the Smithsonian or currently being considered for broadening access. The information below demonstrates the Institution's commitment to inclusion of people with hearing loss or who are deaf:

Signage and accessibility information

Signage in the Institution's facilities is designed to meet the requirements of the ABA and ADA. We are aware that some of our theaters currently lack signage about their

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P.O. Box 37012 MRC 019
Washington, DC 20013

assistive listening systems. We are working to correct this.

General accessibility information is available on the Smithsonian home page, the Accessibility Program home page, and the individual museum web sites. By policy, information for visitors who wish to request accessibility services for public programs is on the websites and in program advertisements of Smithsonian museums and the National Zoo. We also recognize that a more consistent approach by the museums to accessibility information would be beneficial to visitors and are currently working with our staff on this issue.

Captioning and assistive listening systems

The Smithsonian offers the following accessibility features to provide effective communication for people who have a hearing disability:

- Captioning of exhibition videos that include a narration track. An inventory of all Smithsonian museum and National Zoo exhibition videos conducted between March – May, 2011 yielded a total of 323 videos, 117 with no narration and 206 which have narration tracks. Of these 206 videos, 7% lack captions and we are working to correct this.
- Permanently installed assistive listening systems and Rear Window Captioning in the IMAX theaters. Visitors request a receiver with a headset or a neck loop and/or the captioning screen from the IMAX theater box office staff.
- Captioning of the Planetarium shows is available upon request at the ticket counter.
- Induction loop amplification is available at information desks in the Castle, the National Air and Space Museum, the National Museum of Natural History, and the National Museum of American History. Twenty sessions for staff and volunteers were conducted in January 2011 to train staff to better assist visitors wishing to use the information desk induction loops.
- Permanent assistive listening systems in fixed seat auditoriums. Induction loops are installed in the National Museum of Natural History's Baird Auditorium, the Carmichael Auditorium of the National Museum of American History, the Ring Auditorium in the Hirshhorn Museum, and the Meyer Auditorium in the Freer Gallery. RF or IR assistive listening systems are installed in the Discovery Theater, the Lecture Hall and classrooms of the S. Dillon Ripley Center, the McEvoy Auditorium of the Smithsonian American Art Museum, and the Rasmussen Theater of the National Museum of the American Indian. Receivers are available from staff at each of these museums.

- Accessibility services for public programs include real-time captioning and portable or permanent assistive listening systems with advance notice.
- A portable assistive listening system with a neck loop is available for any docent-led tour, with one business day advance request.
- A personal assistive listening device with a neck loop, available from the Castle Information desk, may be used at any Smithsonian museum.
- Other accessibility services can be arranged by contacting the Accessibility Program.

The Smithsonian has a difference of opinion with (b) (6) on how to provide effective communication in exhibitions. We are actively researching technologies that effectively deliver audio description information to people who are blind or have low vision and assistive listening to people with hearing loss through the same device. In choosing the technology that we install in our exhibits, we are mindful not only of the individual preferences of visitors but of the need to provide access to the broadest range of visitors with disabilities. There are numerous factors we consider when installing audio devices, including but not limited to, physical proximity of (and potential interference with) exhibit components and security equipment, building and exhibit construction materials, the need to periodically re-configure exhibit space and re-install devices, and the other methods (such as captioning) available to communicate content.

Sign language interpretation

The Smithsonian has a deep and broad 30-plus year history of collaboration with the deaf community and effectively accommodating people who are deaf. In addition to providing sign language interpretation or other types of accessibility services for any public program with advance request and having scheduled interpretation for many events, other examples include:

- Collaborating on Gallaudet's Deaf Way I and II by hosting exhibitions and performances at Smithsonian venues.
- Hosting Gallaudet's "History Through Deaf Eyes" exhibition and related programming;
- Featuring Deaf culture as a program area of the 1981 Folklife Festival.
- The 2011 Festival includes a section on Peace Corps volunteers who are deaf.
- Content on the deaf community in the National Museum of American History's 2000 exhibition on the Disability Rights Movement to coincide with the 10th anniversary of the ADA.
- Collections across the Institution that include art, science, and history objects from the deaf community.

- On-going programming initiated by the deaf community such as Art Signs at the Smithsonian American Art Museum, pilot project using Art Signs as a model will be introduced at the National Museum of American History this summer.
- A commitment to accessibility for visitors, staff, interns, volunteers, and Fellows. The Smithsonian has both a Visitor Services Fund and a Central Accommodations Fund for staff. The majority of these funds are spent on sign language interpretation and CART each year. For the past three years, youth with disabilities have participated in our Access to Opportunities internship program funded by The HSC Foundation.

Community involvement and advisors

The Smithsonian continuously seeks to improve program access for people with disabilities. We routinely consult with members of the disability community, museum visitors with disabilities, and respected experts in accessibility. We seek input on best practices from our working group of individuals and representatives from leading national organizations serving members who have hearing loss or are deaf. The working group advises us that captioning of exhibit videos provides access to the broadest range of visitors who are deaf or have hearing loss. In addition, colleagues at other cultural art organizations such as The John F. Kennedy Center for the Performing Arts as well as NPS staff members who implement the Department of Interior's Audio-Visual Accessibility Initiative for Visitors with Disabilities are an informal network that shares accessibility practices and procedures. The insight of these professional colleagues on the variety of assistive listening or exhibition technologies is invaluable.

The Smithsonian strives to be a leader in museum accessibility and is committed to broadening access to its programs, collections and research to all people, including people with disabilities. We welcome a continuing dialogue with you and your staff.

Yours truly,





Smithsonian Institution

Nell Payne
Director of Government Relations

February 15, 2011

The Honorable Darrell E. Issa
Chairman
Committee on Oversight and Government Reform
United States House of Representatives
2157 Rayburn House Office Building

Dear Chairman Issa:

I have been asked to respond to your letter of January 25, 2011, asking the Smithsonian Institution to provide information to the Committee on Oversight and Government Reform, which has jurisdiction over the Freedom of Information Act ("FOIA").

The Smithsonian was created by Congress as an independent trust instrumentality of the United States, governed by a Board of Regents. For this reason many of the laws and directives applicable to federal agencies do not apply to the Institution. As a matter of policy the Smithsonian and its Office of the Inspector General have long responded to FOIA requests and provided information to the public in a manner consistent with the spirit of FOIA and its underlying principles.

In 2007, as part of its governance reform the Smithsonian formalized its FOIA policy and issued Smithsonian Directive 807, Requests for Smithsonian Institution Information (SD 807). In May 2008, the General Accounting Office (GAO) reviewed the policy as part of an assessment of the Smithsonian Board of Regents' progress on governance reform. In its subsequent report [GAO-08-632, May 2008], GAO stated, "We compared Smithsonian's FOIA policy with the [Freedom of Information] Act and found that the policy is consistent." Additionally, after receiving constructive comments from the FOIA requester community in 2008, the Board of Regents approved a revised policy in February 2009.

1. As requested, attached (ATTACHMENT 1) are Microsoft Excel spreadsheets of the Institution's FOIA logs for the five years preceding the date of this letter. Since January 2006 the Smithsonian Institution has received 239 requests for records.

Smithsonian Institution Building Room T-360
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Washington DC 20560-0019
202.633.5125 Telephone
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Mailing Address:
Smithsonian Institution
Office of Government Relations
P.O. Box 37012 MRC 019
Washington, DC 20013

2. As requested, identified on the FOIA log are (four) requests that, for the following reasons, have been pending for more than 45 days:

- a. Item number 34939 is a request from a law firm for all documents related to the ozone generator installed in the newly-constructed Elephant Filtration Building at the National Zoo. The documents are expected to be voluminous and are maintained by more than one unit. Offices are in the process of gathering responsive documents.
 - b. Item number 32626 is a request from Greenpeace for all correspondence, including emails, for the past ten years for two Smithsonian scientists. The search has generated more than ten thousand pages of potentially responsive documents. A partial production was made to Greenpeace on January 28, 2011. The rest of the documents, including email messages, are currently being reviewed.
 - c. Item number 33095 is a request from a law firm for all documents the Smithsonian produces to Greenpeace (see b). A partial production was made to the requester on February 1, 2011.
 - d. Item number OIG11-01 is a request made to the Smithsonian Office of Inspector General (OIG). For parts of last year, OIG had only one special agent dealing with this topic. The investigative unit, therefore, did not have the resources to assist with this request earlier. With the addition of two special agents last month, OIG anticipates that it will provide a response within the next few weeks.
3. As requested, attached (ATTACHMENT 2) are the communications between the above-named requesters and the Institution, numbered SI-000001 thru SI-000031.
4. The Smithsonian has been involved in no federal judicial actions involving FOIA, and none in which the Smithsonian has been ordered by the court to pay any attorneys' fees or other litigation costs incurred by a FOIA requester.

5. None

The Smithsonian is dedicated to fostering transparency to support its mission to increase and diffuse knowledge. Smithsonian websites logged more than 188 million visits in fiscal year 2009, up nine percent from fiscal year 2008. In addition to its FOIA site, the Office of the Regents, the Office of the Secretary, and many other administrative offices post thousands of pages about the Institution's operation and finances, including information about governance, budget and performance, GAO reports, tax filings, annual performance plans, budget information, Smithsonian directives, the Secretary's strategic plan, annual reports and Congressional testimony.

The Office of the Inspector General publishes audit reports on various programs and operational issues on its website (si.edu/oig). The Board of Regents maintains an electronic reading room and posts meeting agendas and minutes, bylaws, and ethics guidelines. The Smithsonian.org Collections Search Center is a one-stop-searching center for the public to access more than 2.3 million records about Smithsonian collections. Smithsonian.org/Research Centers links the public to many Smithsonian centers, programs and research projects, including *Encyclopedia Smithsonian*. Each link connects the public to thousands of pages of information.

I would be pleased to answer questions or to further discuss the Institution's FOIA policy. Thank you for your interest in the Smithsonian Institution.

Yours truly,

A handwritten signature in cursive script, reading "Nell Payne". The signature is written in dark ink and is positioned below the "Yours truly," text.

cc: Annette Fancher, Esq.
Information Requests Officer
Office of General Counsel



Smithsonian Institution

Nell Payne
Director of Government Relations

April 10, 2013

The Honorable Charles E. Grassley
Ranking Member
Committee on the Judiciary
United States Senate
Washington, DC 20510

Dear Senator Grassley:

I write in response to your request for information regarding Secretary Clough's travel from February 1, 2012 to the present, the amount of leave he has accumulated and used since his arrival in July 2008, and plans for his future travel.

Secretary Clough and the Smithsonian are acutely aware of the importance of transparency and accountability in everything they do. The Smithsonian is a trust instrumentality of the United States, and depends on federal support. We are very cognizant of our responsibility to taxpayers and the public to be good stewards of our resources and ensure that future generations will be able to benefit from our museums, collections, scientific research and public programs.

As part of governance reforms adopted in 2007, the Regents instituted changes in senior staff compensation and benefits, travel policy and other policies to align them with the system governing federal senior level employees, in order to improve transparency and accountability.

Since his arrival, Secretary Clough has diligently and scrupulously followed the policy decided by the Regents. The March 8, 2013 Inspector General's (IG) report on senior executive travel found that travel undertaken by Secretary Clough and senior Smithsonian executives was, **"... for authorized purposes and travel expenses were reasonable. We also did not find any travel abuse or material violations of Smithsonian policies for the trips reviewed."**

The IG report also recognizes the importance and indeed the necessity of travel by the Secretary and senior staff - "Smithsonian senior executives frequently have domestic and international travel needs for pursuing scholarship, research, operational site visits, or fundraising." Travel is essential to the cultivation of private philanthropy and travel is

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SI-000020

standard in any comprehensive fund raising program. The Secretary and senior staff must often travel in order to make personal contact with prospective donors and travel is likely to increase in the future as we proceed with our national fund raising campaign. Smithsonian fund raising has increased from \$136 million in FY2008 to \$224 million in FY2012. The Secretary's travel is paid for with Trust funds.

The information you requested is attached, as follows.

1. Travel documents from February 1, 2012 to the present.

Attached at Tab A is an index of Secretary Clough's official Smithsonian travel beginning February 1, 2012 through March 3, 2013. Attached at Tab B are redacted copies of Secretary Clough's official travel records, including authorizations, vouchers, itineraries, receipts and related correspondence. These documents have been marked SI_GWC 000001 to SI_GWC 000330.

2. Leave accumulated since Secretary Clough's arrival.

Attached at Tab C is a table showing the accumulation, use and rollover of the four categories of leave provided to Secretary Clough since his arrival. These are the same categories of leave provided to senior level federal employees – sick leave, annual leave, time-off awards and compensatory time for travel. There are two tabs: the first tab shows leave accumulated and claimed each pay period, the second tab provides an annual summary.

Secretary Clough has not been paid for any unused leave. As is the case in the federal pay system, a Smithsonian employee, including the Secretary, is paid for unused annual leave when he or she leaves the organization. This is not true for sick leave, time-off awards, or compensatory time for travel.

Regarding rollover of leave, pursuant to the Regents' direction in 2007, the Secretary and senior staff have been following federal leave and travel regulations

- Sick leave – all accrued sick leave can be carried over from year to year, there is no limit – applies to all federal employees.
- Annual leave - Secretary Clough and senior level Smithsonian employees can carry over 720 hours of annual leave per year (per federal leave regulations).
- Time off award – up to one year to use a time off award, after which it is forfeited – applies to all federal employees.
- Comp time for travel – up to one year to use comp time for travel, after which it is forfeited – applies to all federal employees

3. Future travel.

Information on currently planned trips is attached at Tab D.

If you have any additional questions or concerns, please contact me.

Sincerely,

A handwritten signature in black ink, reading "Neil Sayre". The signature is written in a cursive style with a large, stylized "N" and "S".

Attachments

Cc: The Honorable Charles E. Schumer
Chairman
Committee on Rules and Administration
United States Senate

The Honorable Pat Roberts
Ranking Member
Committee on Rules and Administration
United States Senate



Smithsonian Institution

Cristián Samper
Acting Secretary

May 20, 2008.

The Honorable Chuck Grassley
Ranking Member
Committee on Finance
United States Senate
Washington, DC 20510

Dear Senator Grassley:

Thank you for your letter of April 30 regarding *Majano v. United States*. I am pleased to answer your questions regarding this case.

1. Administrative Action

The Institution is reviewing Judge Collyer's opinion and intends to take appropriate action based on the totality of the circumstances and the policies and precedents applicable to Smithsonian employees. However, at the request of the Department of Justice, which is the Smithsonian Institution's legal counsel in this matter, we are deferring any administrative action until the parties' avenues for legal recourse have been exhausted.

2. Previous Administrative Reviews

Over the last five years, three employees were disciplined for charges that include threatening behavior, and 24 employees were disciplined for charges that include creating a disturbance. The discipline ranged from counselings and reprimands to suspensions. None of the employees were senior-level.

Many factors are used in determining the appropriate level of discipline for each case, including the employee's disciplinary history and the nature and severity of the incident. Each incident is reviewed on a case-by-case basis before any penalty is proposed.

It is also important to note that counselings are not considered official discipline. On occasion, the Smithsonian's Labor and Employee Relations (LER) branch consults with management about incidents that ultimately result in employee counselings. In these instances, the counselings are recorded in the LER system and are included in the above count. However, since counselings are not officially disciplinary actions, LER does not normally review or approve counselings. Therefore, there may be additional counselings

The Honorable Chuck Grassley
May 20, 2008

throughout the Institution for similar incidents of which we are not aware and that we have not recorded.

3. Security Training and Building Entry Requirements

Smithsonian policy regarding these issues can be found in several publications:

- Office of Protection Services (OPS) Staff Security Handbook, page 6 – “Employees of the Smithsonian Institution are expected to cooperate with OPS by Observing access control requirements to include: Denying unauthorized access (or notifying security) into non-public areas of SI facilities Safeguarding identification credentials, access cards, and keys entrusted to them and not using them or allowing them to be used for any unauthorized purpose.”
- Smithsonian Directive (SD) 420, Security Operations and Policies, page 3 - “General responsibilities for employees Observing access control requirements Reporting unusual, suspicious, or dangerous people, activities or conditions to security guards immediately upon detection.”

The longstanding procedure of the Institution has been that any staff member who enters a staff entrance must show a valid Smithsonian ID Badge to the Security Officer.

The Victor Building at the time was somewhat unusual in that its unmanned entrance required a separate access card (other than the Smithsonian ID Badge) from an outside company. Additionally, I understand that there had been thefts in the building, and there was concern that one or more employees were providing their access cards to unauthorized people – a clear violation of security procedures. It is believed that staff were told they could face disciplinary action if they gave their access cards to anyone.

While it is clearly a security procedure violation to have someone “piggyback” on another person, OPS does not recommend any action, except by a security officer, to prevent someone from entering the building through a secured staff entrance. OPS recently directed their Security Managers to meet with and clarify this policy with their Museum Directors – that is, that an employee may inquire if they could help someone, but they are not to take any enforcement action and should notify Security.

The Office of Human Resources (OHR) had not previously included these security procedures in their orientations for new personnel; however, when Security Managers meet with museum staff, they continually discuss these types of security issues and indicate that OPS should be notified of any suspicious activity. The OPS Director has

The Honorable Chuck Grassley
May 20, 2008

met with OHR staff and is providing them information to begin presenting this aspect of security at orientations for all new SI employees.

4. Legal Status of the Smithsonian

With reference to your inquiry concerning why the Smithsonian Institution classifies itself as an entity of the federal government for purposes of certain statutes but not others, the Office of General Counsel (OGC) examines each statute on its own terms in determining whether a given statute applies to the Smithsonian. This is the standard practice used by courts, the Department of Justice's Office of Legal Counsel, and in-house government lawyers for determining whether a governmental entity is covered by a particular statute or legislative scheme.¹ For example, as legal counsel for either the Library of Congress or the Government Accountability Office would do, OGC first examines the specific language of the statute, including the definitional section, to determine whether the Institution is included or excluded by the statute's text. Much of the regulatory language passed by Congress is aimed specifically and exclusively at the Executive Branch of Government. As the D.C. Circuit held in *Dong v. Smithsonian Institution*, 125 F.3d 877 (D.C. Cir. 1997), the Smithsonian is not part of the Executive Branch of Government and is not an "authority of the government." Accordingly, statutes which, on their face, apply only to the Executive Branch of Government do not apply to the Smithsonian.

If the language of the statute is ambiguous, OGC then looks to legislative intent to determine whether Congress intended to cover the Institution. This is, by its nature, a case-by-case determination.

With reference to your specific inquiry concerning the claim at issue in *Majano v. Kim*, that claim arose under the Federal Tort Claims Act (FTCA), which applies by its terms to "Federal agencies." In the FTCA, Congress specifically defined the term "Federal Agency" as including:

"the executive departments, the judicial and legislative branches, the military departments, *independent establishments of the United States*, and corporations primarily acting as instrumentalities or agencies of the

¹ An excellent example of this approach is demonstrated in the February 29, 2008, memorandum of the Department of Justice's Office of Legal Counsel, opining that the Office of Government Ethics does not have jurisdiction over the Smithsonian Institution because the Smithsonian is not part of the Executive Branch of Government. "The wiser course, which we and others have followed, is to focus upon the position of the Smithsonian within a precise statutory scheme." *The Status of the Smithsonian Institution*, 12 Op. O.L.C. at 123-24. We follow that course today. [Opinion at page 5, attached for your perusal.]

The Honorable Chuck Grassley
May 20, 2008

United States, but . . . not . . . any contractor with the United States.
[Italics added for emphasis.]

28 U.S.C. sec. 2671. This definition of "Federal agency" is unusually broad and, indeed, includes all three Branches of Government. In 1977, the U.S. Circuit Court of Appeals for the District of Columbia held that the Federal Tort Claims Act applied to the Smithsonian as a whole (i.e., to the torts attributable to either civil service or trust employees) because the definition of "Federal agency" includes "independent establishment of the United States." The finding that Congress intended the Smithsonian to share in the immunities of the United States under the FTCA does not in any way conflict with the Smithsonian's Congressional charter as a non-governmental instrumentality of the United States dedicated solely to its trust purposes. See Expeditions Unlimited Aquatic Enterprises, Inc. v. United States, 566 F.2d 289, 296 (D.C. Cir. 1977) (*en banc*), *cert. denied* 438 U.S. 915 (1978).

I would be pleased to have the General Counsel meet with you or your staff attorneys to discuss the legal history of the Smithsonian Institution

Please do not hesitate to contact me again if you require additional information on these issues. Thank you for your interest in the Smithsonian Institution.

Sincerely,

Cristian Sampedro K

Enclosure



Smithsonian Institution

Nell Payne
Director of Government Relations

March 2, 2012

The Honorable Charles E. Grassley
Ranking Member
Committee on the Judiciary
United States Senate
135 Hart Senate Office Building
Washington, DC 20510

Dear Senator Grassley:

I write in response to your February 10, 2012 letter to Inspector General Scott Dahl regarding the travel expenses of the Secretary of the Smithsonian. As you are aware, Inspector General Dahl, on February 15, 2012, forwarded your letter to the Office of General Counsel for a response. The Office of General Counsel, with the assistance of the Secretary's Office and other administrative units, has collected the documents and information you have requested. Each of your requests, accompanied by the Smithsonian's response, is provided below. We trust that this information will correct the many inaccuracies contained in the original news reports concerning the Secretary's travel, and reassure you that the Smithsonian is committed to the principle that the Smithsonian's business is the people's business.

In order to further the Smithsonian's mission, it is necessary for the Secretary and for many other Smithsonian staff members to travel around the United States and to various foreign countries in order to further the Smithsonian's mission. The Smithsonian has installations in several states and foreign countries, e.g., New York, Alaska, Hawaii, Panama, Africa, Chile and Belize. We collaborate closely with our 170 Affiliate museums and organizations around the country with which we collaborate closely. The Secretary and senior staff are often called upon to represent the Smithsonian at meetings and symposia around the country and in other countries.

The Smithsonian must raise one third of its operating expenses, which necessitates travel for the purpose of donor cultivation. This activity will increase significantly in the coming years, as we raise half the funds to construct the congressionally-mandated National Museum of African American History and Culture (\$250 million in private funds) and also launch our first-ever Institution-wide national fund raising campaign. Under Secretary Clough's guidance, the Smithsonian has raised over \$500 million in the last three years, and we expect that amount to increase.

Response to Requests Contained in February 10, 2012 Letter:

1. Please provide unredacted copies of all travel documents for Secretary Clough for all travel between the dates, July 1, 2008 to the present.

Attached at Tab A is an index of Secretary Clough's official Smithsonian travel for

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the time period, July 2008 to January 31, 2012. Attached at Tab B are redacted copies of Secretary Clough's official travel records, including authorizations, vouchers, itineraries, receipts, and related correspondence. These documents have been marked SI_GWC 000001 to SI_GWC 001058. Based upon the agreement reached with your staff, a set of unredacted documents is available for review at the Office of General Counsel.

2. **For each trip, please document what entity was responsible for the payment of the charges, including the total dollar amount paid for by the Smithsonian Institution.**

The Smithsonian, like other federal entities, accepts payment from non-federal sources for certain travel expenses of Smithsonian employees. See Federal Travel Regulations (FTR), Chapter 304. Attached at Tab C is a spreadsheet identifying the entity responsible for the payment of certain travel expenses for Secretary Clough, for the time period, July 2008 to January 31, 2012.

The Smithsonian is able to identify the total expense to the Smithsonian for each of the Secretary's official trips for the time period, July 2008 to January 31, 2012. This information can be found on the spreadsheet attached at Tab A in the column entitled "Total Expense."

3. **Please provide unredacted copies of all travel documents for Mrs. Anne Clough for the travel dates, July 1, 2008 to the present. For each trip, please document what entity was responsible for the payment of the charges, including the total dollar amount paid by the Smithsonian Institution.**

Attached at Tab D is an index of approved spousal travel requests for Mrs. Anne Clough, for the time period, July 2008 to January 31, 2012. Attached at Tab E are redacted copies of Mrs. Clough's official travel records, including authorizations, vouchers, itineraries, receipts, and related correspondence. These documents have been marked SI_ARC 000001 to SI_ARC 000176. Based upon the agreement reached with your staff, a set of unredacted documents is available for review at the Office of General Counsel.

Mrs. Clough accompanied the Secretary on only one trip in which a sponsor provided for the payment for certain travel expenses. This trip (Tab A, No. 51 & Tab D, No. 11) occurred in February 2011 when a donor paid for one night of lodging at the Vero Beach Hotel for the Secretary and Mrs. Clough.

4. **Please provide a detailed list of and explanation for Secretary Clough's airline upgrades from economy to business and first class seating, including all flights that were upgraded to business or first class and the additional costs incurred for the upgrades.**

Section 4.4.2(a) of the Smithsonian Travel Policy provides, in part, that the "FTR currently allows non-coach travel (business class or first class if the conveyance

has only two classes of service) under the following circumstances: (a) If traveler provides a doctor's statement specifying that non-coach class accommodations are required due to a medical condition, or (b) If the traveler's total flight time to or from a non-US destination will exceed 14 hours the traveler is permitted either (i) the use of a non-coach class, or (ii) a rest period either during or at the end of the travel."

In compliance with this policy, Secretary Clough provided a medical statement, based upon the criteria set forth in Section 4.4.3 of the Smithsonian Travel Policy, for sixteen (16) of the sixty-eight (68) official travel destinations for the time period, July 2008 to January 31, 2012. The spreadsheet attached at Tab A identifies, in the column entitled "Non-coach," the destinations for which Secretary Clough used a non-coach fare. Because these past trips were not originally priced as coach fares, the Smithsonian is unable to determine, today, the additional cost incurred for the non-coach fares. Because the FTR also permits non-coach travel to or from a non-US destination where the total travel time exceeds 14 hours, some of the non-coach fares (e.g., New Zealand and Kenya) would have been authorized because of the length of the trip, itself, regardless of whether the traveler had a medical justification or not.

This concludes the Smithsonian's response to the requests for documents and information contained in your February 10, 2012 letter. Should you have any questions or concerns, please do not hesitate to contact me.

Sincerely,



Attachments

cc: The Honorable Charles E. Schumer
Chairman
Committee on Rules and Administration
United States Senate

The Honorable Lamar Alexander
Ranking Member
Committee on Rules and Administration
United States Senate



Smithsonian Institution

The Board of Regents

The Chief Justice of the
United States,
Chancellor

January 30, 2008

The Vice President
of the United States

The Honorable Dianne Feinstein
Chairman
Committee on Rules & Administration
United States Senate
305 Russell Senate Office Building
Washington DC 20510

The Honorable
Thad Cochran

The Honorable
Christopher J. Dodd

The Honorable
Patrick J. Leahy

Dear Chairman Feinstein:

The Honorable
Xavier Becerra

In further response to your letter of January 7 regarding the travel expenses of Mr. W. Richard West, Jr., former Director of the National Museum of the American Indian, I am pleased to provide the attached results of the internal review requested by Acting Secretary Cristián Samper as soon as he learned of this problem. As you will see, this review, while preliminary, is reassuring in its results.

The Honorable
Sam Johnson

The Honorable
Doris Matsui

A detailed review of Mr. West's travel, as well as travel by other senior executives, is being conducted by the Smithsonian's Inspector General (IG), as you and other Members of Congress have requested. I am confident that the IG's findings will be thorough, and I look forward to receiving any recommendations she may make to the Board of Regents to strengthen our policies and practices on this subject. The IG is also reviewing the expenses associated with Mr. West's farewell party and associated activities, and here again I rely on her findings.

Eli Broad

Phillip Frost

Shirley Ann Jackson

Robert P. Kogod

Roger W. Sant

Alan G. Spoon

Patricia Q. Stonesifer

Please do not hesitate to contact me if you would like to discuss this issue further. And, as always, thank you for your continuing interest in the Smithsonian Institution.

Sincerely,

Roger W. Sant
Chair of the Board of Regents

Attachments

SI Building Room 207
1000 Jefferson Drive SW
Washington DC 20560-0040

SI-000030



Smithsonian Institution

Office of the Inspector General

January 17, 2008

Honorable Henry A. Waxman
United States House of Representatives
Committee on Oversight and Government Reform
2157 Rayburn House Office Building
Washington, DC 20515-6143

Dear Representative Waxman:

I received your letter, dated December 7, 2007, in which you requested a list of recommendations made by my office from January 1, 2007 to the present that have not been implemented by Smithsonian officials or by Congress. You also asked for a narrative for each unimplemented recommendation.

My counsel, Epin Christensen, spoke with Alison Cassady from the Committee staff on December 11, 2007 and explained that we issue quarterly activity reports to the Smithsonian management on all open audit recommendations. These reports contain most, but not all, of the details you requested for the individual narratives. Ms. Cassady agreed to accept our latest quarterly report in response to your December 7 letter, with our acknowledgement that the Committee may ask us to provide additional information after its review of the report.

Accordingly, I have enclosed our FY 2008 First Quarter Activity Report on OIG Recommendations that was issued on January 15, 2008.

Sincerely,

A. Sprightley Ryan
Inspector General

Enclosure

cc: Tom Davis
Ranking Minority Member

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Smithsonian Institution

Office of the Inspector General

May 1, 2009

Honorable Darrell Issa
United States House of Representatives
Committee on Oversight and Government Reform
2157 Rayburn House Office Building
Washington, DC 20515-6143

Dear Representative Issa:

I received your letter, dated April 16, 2009, in which you requested a list identifying each open recommendation, the estimated monetary benefit associated with each recommendation, and an estimate of how quickly each recommendation can be implemented. It is our understanding from the CIGIE Legislation Committee that the list should only include open recommendations with estimated monetary benefit or savings. Accordingly, the following is a list of our open recommendations with estimated monetary benefit or savings and their potential implementation timelines.

1. By reevaluating the policy of free parking for employees of the National Zoo and Friends of the National Zoo (FONZ); reexamining unlimited parking for FONZ members; and examining several options during the master planning process (such as expanding retail facilities and food and beverage operations), the Smithsonian may generate additional revenues. The implementation of this recommendation is estimated to be long-term, with a current deadline of December 31, 2009. (Report No. A-06-01, August 28, 2007)
2. By instructing the Smithsonian units to prepare corrected employee timecards and seek reimbursement for the identified overpayments and improper payments, the Smithsonian may recover \$189,563. The implementation of this recommendation is estimated to be long-term, with a current deadline of December 31, 2009. (Report No. A-07-09-1, July 18, 2008)
3. By conducting a review of employees who received Continuation of Pay benefits but were not included in our previous audit sample, in order to identify overpayments and improper payments, the Smithsonian may recover a potential monetary benefit. The implementation of this recommendation is estimated to be long-term, with a current deadline of December 31, 2009. (Report No. A-07-09-1, July 18, 2008)
4. By seeking corrective action, as appropriate, from the Department

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of Labor's Office of Workers' Compensation Programs (OWCP) for cases identified in our audit sample, the Smithsonian may save \$5,200,000. The implementation of this recommendation is estimated to be long-term, with a current deadline of December 31, 2009. (Report No. 07-09, March 24, 2009)

5. By conducting periodic review of open Federal Employees' Compensation Act cases to ensure that OWCP has obtained updated medical reports from physicians and is taking necessary actions to return employees to work as soon as possible, the Smithsonian may obtain monetary savings. The implementation of this recommendation is estimated to be long-term, with a current deadline of January 1, 2010. (Report No. 07-09, March 24, 2009)
6. By developing and implementing an Institution-wide return-to-work program that includes specific policies and procedures for transitioning injured employees to full, modified or light duty work including, if appropriate, a requirement that claimants provide updated medical reports, the Smithsonian may save \$2,100,000. The implementation of this recommendation is estimated to be long-term, with a current deadline of December 31, 2010. (Report No. 07-09, March 24, 2009)

Sincerely,

A. Sprightley Ryan
Inspector General

cc: Representative Edolphus Towns
Chairman



Smithsonian Institution

Office of the Inspector General

April 16, 2010

Honorable Darrell Issa
United States House of Representatives
Committee on Oversight and Government Reform
2157 Rayburn House Office Building
Washington, DC 20515-6143

Dear Representative Issa:

I received your letter, dated March 24, 2010, in which you requested information about our open and unimplemented recommendations. The following is our response to your inquiry.

1. Identify the current number of open and unimplemented IG recommendations.

We have 76 open and unimplemented recommendations, of which 22 are past-due and 54 have implementation dates that have not yet passed.

2. For those recommendations that have an estimated cost savings associated with them, identify the recommendation, the date first recommended, and the total estimated cost savings your office believes is obtainable if the recommendation is implemented by agency management.

We have one recommendation that has estimated cost savings associated with it. In our Administration of the Workers' Compensation Program audit, we recommended that the Smithsonian develop and implement an Institution-wide return-to-work program that includes specific policies and procedures for transitioning injured employees to full, modified or light duty work with, if appropriate, a requirement that claimants provide updated medical reports. We believe that the Smithsonian could avoid worker's compensation costs of \$2,100,000 if this recommendation is implemented. The implementation deadline for this recommendation is December 31, 2010.

3. Identify what your office considers to be the three most important open and unimplemented recommendations. For each identify:

- a. The status of the recommendation, including whether agency management has agreed or disagreed with the recommendation;
- b. The cost savings associated with the recommendation (if applicable); and
- c. Whether there are plans to implement the recommendation in the near future.

We believe that three areas we have recently audited are of particular concern: information systems; privacy; and personal property accountability. Accordingly, we consider the following sets of open and unimplemented recommendations to be the most important.

- a. We have issued a series of recommendations to improve the security and integrity of the Institution's information systems. For example, we recommended that the Chief Information Officer identify, document, and implement segregation of duty controls for sensitive administrative and system support functions. The Institution has agreed with this recommendation, which does not have cost savings associated with it, and the implementation deadline is June 30, 2010. Another example is our recommendation that the Chief Information Officer establish procedures to ensure existing policies requiring the use of standard baselines are implemented and enforced. The Institution has agreed with this recommendation, which does not have cost savings associated with it, and the implementation deadline is October 15, 2010.
- b. We have issued a series of recommendations to strengthen the Institution's privacy program. For example, we recommended that the Secretary develop and document clear responsibilities for a Senior Agency Official for Privacy, whose responsibilities should include overall ownership of privacy issues within the Smithsonian, as well as the development and implementation of a comprehensive privacy program addressing the various risks to the Smithsonian of collecting and handling sensitive personally identifiable information. The Institution has agreed with this recommendation, which does not have any cost savings associated with it, and the implementation deadline is June 30, 2010.
- d. We have issued a series of recommendations to strengthen accountability over personal property at the Institution. For example, we recommended that the Institution conduct regular compliance reviews, including ensuring that individuals are being held accountable for missing property. The Institution has agreed with this recommendation, which does not have any direct cost savings associated with it, and the implementation deadline is December 31, 2010.

4. Identify the number of recommendations your office deems accepted and implemented by the agency during the time period January 5, 2009 – the date of the Committee's last report – and the present.

From January 5, 2009 to the present, we closed 52 recommendations after they were accepted and implemented by the Smithsonian.

Additionally, you asked us to identify any legislative suggestions that would further improve the IG Act or the Reform Act. It is our understanding that the CIGIE Legislation Committee sent you a letter on April 2, 2010 about its Fiscal Year 2010 legislative initiatives to improve the work of Inspectors General. We agree with the substance of that letter.

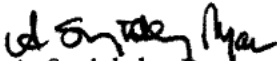
* * * * *

For more information on the audits these recommendations stem from, please see

our Semiannual Reports to Congress.¹ These reports, required by the Inspector General Act, provide summaries of our work and updates on the status of all our pending recommendations.

Please do not hesitate to call me on 202.633.7050 if you have any questions or if you would like to discuss our work.

Very truly yours,


A. Sprightley Ryan
Inspector General

cc: Representative Edolphus Towns
Chairman

¹ All our Semiannual Reports can be found on our website: <http://si.edu/oig>.



Smithsonian Institution

Office of the Inspector General

June 15, 2010

VIA EMAIL (Brian_Downey@finance-rep.senate.gov)

The Honorable Charles E. Grassley
Ranking Member
Committee on Finance
United States Senate
219 Dirksen Senate Office Building
Washington, D.C. 20510

The Honorable Tom Coburn
Ranking Member
Permanent Subcommittee on Investigations
Committee on Homeland Security and Governmental Affairs
340 Dirksen Senate Office Building
Washington, D.C. 20510

Dear Senators Grassley and Coburn:

On May 5, 2010, I received your April 8 letter, in which you requested information as part of your duty to ensure that Inspectors General have the independence necessary to carry out audits, evaluations, and investigations within our respective entities.

First, you requested a list and description of any instances from October 1, 2008 to April 8, 2010 "when the Department/Agency resisted and/or objected to oversight activities and/or restricted [my] access to information." Fortunately, I do not have any such instances to report. The Institution has not objected to my oversight activities and has not restricted my access to information. As you have requested, however, I will advise your staff members if the Institution should do so.

Second, you requested "biannual reports on all closed investigations, evaluations, and audits conducted by [my] office that were not disclosed to the public" for the period of January 1, 2009 through April 30, 2010. Per the June 2, 2010 email communications between Christopher Armstrong and my counsel, Epin Christensen, we will provide this information by July 15, 2010.

Third, you requested to be advised immediately "if any federal official threatens and/or otherwise attempts to impede [my] office's ability to communicate with

The Honorable Charles E. Grassley and The Honorable Tom Coburn

June 15, 2010

Page 2

Congress, whether that communication concerns the budget or any other matter." Institution officials have never threatened or impeded my office's ability to communicate with Congress. If they ever violate the Inspector General Act in such a manner, I will contact your staff members.

Last, you asked for a copy of our response to Representative Darrell Issa's March 24, 2010 letter. Please see the enclosed letter, dated April 16, 2010.

Please do not hesitate to call me on 202.633.7050 if you have any questions.

Sincerely,


A. Sprightley Ryan
Inspector General

Enclosure

cc: The Honorable Max Baucus
Chairman
Committee on Finance

The Honorable Carl Levin
Chairman
Permanent Subcommittee on Investigations
Committee on Homeland Security and Governmental Affairs



Smithsonian Institution

Office of the Inspector General

July 15, 2010

VIA EMAIL (Brian_Downey@finance-rep.senate.gov)

The Honorable Charles E. Grassley
Ranking Member
Committee on Finance
United States Senate
219 Dirksen Senate Office Building
Washington, D.C. 20510

The Honorable Tom Coburn
Ranking Member
Permanent Subcommittee on Investigations
Committee on Homeland Security and Governmental Affairs
340 Dirksen Senate Office Building
Washington, D.C. 20510

Dear Senators Grassley and Coburn:

Pursuant to your April 8, 2010 letter and our June 15, 2010 letter, we are responding to your request for "biannual reports on all closed investigations, evaluations, and audits conducted by [my] office that were not disclosed to the public" for the period of January 1, 2009 through April 30, 2010.

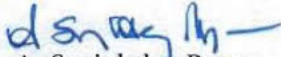
It is my understanding from the Council of Counsels for Inspectors General that you do not seek personally identifiable information, but rather relevant, summary information on our closed investigations. Accordingly, we have attached summaries of all closed investigations for the pertinent time period with information about the allegations and dispositions but without any personal identifiers. This list of investigations does not include complaints and other matters which we closed without review; which we reviewed but did not open an investigation on; or which we referred to another Smithsonian unit without further action by us.

We do not have any non-public evaluations and audit reports to disclose. We do not conduct evaluations, and our audit reports are disclosed to the public on our website (<http://si.edu/oig>) and in our Semiannual Reports to Congress.

The Honorable Charles E. Grassley and The Honorable Tom Coburn
July 15, 2010
Page 2

Please do not hesitate to call me on 202.633.7050 if you have any questions.

Sincerely,



A. Sprightley Ryan
Inspector General

Enclosure

cc: The Honorable Max Baucus
Chairman
Committee on Finance

The Honorable Carl Levin
Chairman
Permanent Subcommittee on Investigations
Committee on Homeland Security and Governmental Affairs



Smithsonian Institution

Office of the Inspector General

January 5, 2011

VIA EMAIL (Brian_Downey@finance-rep.senate.gov)

The Honorable Charles E. Grassley
Ranking Member
Committee on Finance
United States Senate
219 Dirksen Senate Office Building
Washington, D.C. 20510

The Honorable Tom Coburn
Ranking Member
Permanent Subcommittee on Investigations
Committee on Homeland Security and Governmental Affairs
340 Dirksen Senate Office Building
Washington, D.C. 20510

Dear Senators Grassley and Coburn:

In your April 8, 2010 letter, you requested that we provide your “staff with biannual reports on all closed investigations, evaluations, and audits conducted by [my] office that were not disclosed to the public.” It is my understanding from the Council of Counsels for Inspectors General that you want the current report to include information for the period of May 1, 2010 through September 30, 2010.

We have attached summaries of all closed investigations for the pertinent time period with information about the allegations and dispositions. As with our July 15, 2010 disclosure, we have not included any personal identifiers because you previously stated that you do not seek this type of information. This list of investigations also does not include complaints or other matters which we closed without review; which we reviewed but did not open an investigation on; or which we referred to another Smithsonian unit without further action by us.

We do not have any non-public evaluations and audit reports to disclose. We do not conduct evaluations, and our audit reports are disclosed to the public on our website (<http://si.edu/oig>) and in our Semiannual Reports to Congress.

MRC 524
PO Box 37012
Washington DC 20013-7012
202.633.7050 Telephone
202.633.7079 Fax

SI-000041

The Honorable Charles E. Grassley and The Honorable Tom Coburn
January 5, 2011
Page 2

Please do not hesitate to call me on 202.633.7050 if you have any questions.

Sincerely,


A. Sprightley Ryan
Inspector General

Enclosure

cc: The Honorable Max Baucus
Chairman
Committee on Finance

The Honorable Carl Levin
Chairman
Permanent Subcommittee on Investigations
Committee on Homeland Security and Governmental Affairs



Smithsonian Institution

Office of the Inspector General

April 28, 2011

Honorable Darrell Issa
United States House of Representatives
Committee on Oversight and Government Reform
2157 Rayburn House Office Building
Washington, DC 20515-6143

Dear Chairman Issa:

I received your letter, dated April 7, 2011, in which you requested information about our open and unimplemented recommendations. The following is our response to your inquiry.

1. Identity the current number of open and unimplemented IG recommendations.

We have 56 open and unimplemented recommendations, of which 8 are past-due and 48 have implementation dates that have not yet passed.

2. For those recommendations that have an estimated cost savings associated with them, identify the recommendation, the date first recommended, and the total estimated cost savings your office believes is obtainable if the recommendation is implemented by agency management.

We do not have any open recommendations that have estimated cost savings. However, we continue to track cost savings associated with a closed recommendation from the Administration of the Workers' Compensation Program audit. The cost saving at issue is \$4,184,366.

3. Identify what your office considers to be the three most important open and unimplemented recommendations. For each identify:

- a. The status of the recommendation, including whether agency management has agreed or disagreed with the recommendation;
- b. The cost savings associated with the recommendation (if applicable); and,
- c. Whether there are plans to implement the recommendation in the near future.

We believe that three areas we have audited are of particular concern. We included two of the three areas in our April 16, 2010 response to your request last year and replace one, personal property, with a new area this year. They are security of information systems, privacy, and management of museum collections. Accordingly, we consider the following sets of open and unimplemented recommendations to be the most important.

- a. We have issued a series of recommendations to improve the security and integrity of the Institution's information systems. One recommendation, outstanding for some time, was to engage personnel with expertise and institutional knowledge to apply a risk-based approach to redefining the

inventory of information systems subject to the Federal Information Security Management Act. The Institution has agreed with the recommendation. While its implementation is unlikely to produce measurable financial results, it will enhance the security over mission-critical information systems. Smithsonian managers across the Institution are presently engaged in a comprehensive review of the information systems and expect to produce a new inventory of systems to apply Federal security standards against. We expect the Smithsonian to complete its revised FISMA inventory by the end of Fiscal Year 2011.

b. We have issued a series of recommendations to strengthen the Institution's privacy program. The Smithsonian has moved forward to implement our initial recommendation by developing the responsibilities of the Privacy Officer, assigning overall ownership of the privacy program to the Privacy Officer, and hiring a person to that position. However, many related recommendations remain unimplemented. As the Privacy Officer moves forward to put the program into place, we expect the Smithsonian to take action on a number of these related recommendations. They include developing and implementing privacy policies and procedures to support an overall privacy program that adequately addresses privacy-related risks; identifying personally identifiable information (PII) used by the Smithsonian; implementing privacy training for employers and contractors; and reducing the holdings of PII to the extent practicable. We do not expect the Smithsonian to complete these and other actions until the middle part of Fiscal Year 2012.

c. We have issued a series of recommendations to improve the stewardship of the national collections at several Smithsonian museums. The recommendations pertain to collection practices such as accessioning, accurate inventories, preservation, security, and information management. Improving the collections management practices will require a long-term commitment on the part of the museums and can be done only with a full appreciation for the need to balance resources among competing priorities across the Institution. The careful attention to preserving and tracking collections items is an enduring challenge. As such, actions on recommendations such as converting manual records to electronic formats will be phased in using a risk-based approach to collection priorities. Though we expect action on a number of collections related recommendations during Fiscal Year 2012, the ambitious reforms we recommend may well take many years to take hold.

4. Identify the number of recommendations your office deems accepted and implemented by the agency during the time period March 24, 2010 and the present.

From March 24, 2010 to the present, we have closed 63 recommendations after they were accepted and implemented by the Smithsonian.

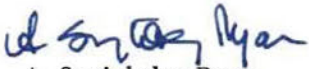
* * * * *

Honorable Darrell Issa
April 28, 2011
Page 3

For more information on the audits these recommendations stem from, please see our Semiannual Reports to Congress.¹ These reports, required by the Inspector General Act, provide summaries of our work and updates on the status of all our pending recommendations.

Please do not hesitate to call me on 202.633.7050 if you have any questions or if you would like to discuss our work.

Very truly yours,


A. Sprightley Ryan
Inspector General

cc: Honorable Elijah Cummings, Ranking Member

¹ All our Semiannual Reports can be found on our website: <http://si.edu/oig>.



Smithsonian Institution

Office of the Inspector General

June 1, 2011

VIA EMAIL (Chris_Lucas@Judiciary-rep.senate.gov)

The Honorable Charles E. Grassley
Senior Member
Committee on Finance
United States Senate
219 Dirksen Senate Office Building
Washington, D.C. 20510

The Honorable Tom Coburn
Ranking Member
Permanent Subcommittee on Investigations
Committee on Homeland Security and Governmental Affairs
340 Dirksen Senate Office Building
Washington, D.C. 20510

Dear Senators Grassley and Coburn:

In your April 8, 2010 letter, you requested that we provide your “staff with biannual reports on all closed investigations, evaluations, and audits conducted by [my] office that were not disclosed to the public.” It is my understanding from the Council of Counsels for Inspectors General that you want the current report to include information for the period of October 1, 2010 through March 31, 2011.

We have attached summaries of all closed investigations for the pertinent time period with information about the allegations and dispositions. As with our July 15, 2010 and January 5, 2011 disclosures, we have not included any personal identifiers because you previously stated that you do not seek this type of information. This list of investigations also does not include complaints or other matters which we closed without review; which we reviewed but did not open an investigation on; or which we referred to another Smithsonian unit without further action by us.

We do not have any non-public evaluations or audit reports to disclose. We do not conduct evaluations, and our audit reports are disclosed to the public on our website (<http://si.edu/oig>) and in our Semiannual Reports to Congress.

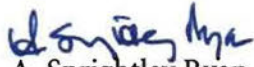
MRC 524
PO Box 37012
Washington DC 20013-7012
202.633.7050 Telephone
202.633.7079 Fax

SI-000046

The Honorable Charles E. Grassley and The Honorable Tom Coburn
June 1, 2011
Page 2

Please do not hesitate to call me on 202.633.7050 if you have any questions.

Sincerely,

A handwritten signature in blue ink, appearing to read "A. Sprightley Ryan".

A. Sprightley Ryan
Inspector General

Enclosure

cc: The Honorable Max Baucus
Chairman
Committee on Finance

The Honorable Carl Levin
Chairman
Permanent Subcommittee on Investigations
Committee on Homeland Security and Governmental Affairs



Smithsonian Institution

Office of the Inspector General

February 9, 2012

VIA EMAIL (Chris_Lucas@Judiciary-rep.senate.gov) and U.S. Postal Service

The Honorable Charles E. Grassley
Senior Member
Committee on Finance
United States Senate
219 Dirksen Senate Office Building
Washington, D.C. 20510

The Honorable Tom Coburn
Ranking Member
Permanent Subcommittee on Investigations
Committee on Homeland Security and Governmental Affairs
340 Dirksen Senate Office Building
Washington, D.C. 20510

Dear Senators Grassley and Coburn:

In your April 8, 2010 letter, you requested that we provide your "staff with biannual reports on all closed investigations, evaluations, and audits conducted by [my] office that were not disclosed to the public." It is my understanding from the Council of Counsels for Inspectors General that you want the current report to include information for the period of April 1, 2011 to September 30, 2011.

We have attached summaries of all closed investigations and inquiries for the pertinent time period with information about the allegations and dispositions. As with our earlier disclosures, we have not included any personal identifiers because you previously stated that you do not seek this type of information. This list of investigations also does not include complaints or other matters which we closed without review; which we reviewed but did not open an investigation or inquiry on; or which we referred to another Smithsonian unit without further action by us.

We do not have any non-public evaluations or audit reports to disclose. For the pertinent time period, we did not conduct any evaluations. Additionally, our audit reports are disclosed to the public on our website (<http://si.edu/oig>) and in our Semiannual Reports to Congress.

Please do not hesitate to call me on 202.633.7050 if you have any questions.

Sincerely,

A handwritten signature in blue ink, appearing to read "Scott S. Dahl".

Scott S. Dahl
Inspector General

MRC 524
PO Box 37012
Washington DC 20013-7012
202.633.7050 Telephone
202.633.7079 Fax

SI-000048

The Honorable Charles E. Grassley and The Honorable Tom Coburn
February 9, 2012
Page 2

Enclosure

cc: The Honorable Max Baucus
Chairman
Committee on Finance

The Honorable Carl Levin
Chairman
Permanent Subcommittee on Investigations
Committee on Homeland Security and Governmental Affairs



Smithsonian Institution

Office of the Inspector General

February 22, 2012

Via Electronic Transmission

The Honorable Charles E. Grassley
Ranking Member
Committee on the Judiciary
United States Senate
224 Dirksen Senate Office Building
Washington, DC 20510

Dear Senator Grassley:

We received your letter, dated February 10, 2012, in which you expressed your concerns about Smithsonian Institution (Smithsonian) Secretary G. Wayne Clough's travel expenses. You requested the following information about these expenses:

1. Unredacted copies of all travel documents for Secretary Clough for all travel from July 1, 2008 to the present;
2. For each trip, documentation on what entity was responsible for payment of the charges, including the total dollar amount paid for by the Smithsonian Institution;
3. Unredacted copies of all travel documents for Mrs. Anne Clough for travel from July 1, 2008 to the present. For each trip, documentation on what entity was responsible for payment of the charges, including the total dollar amount paid for by the Smithsonian Institution; and
4. Detailed list of and explanation for Secretary Clough's airline upgrades from economy to business and first class seating, including all flights that were upgraded to business or first class and the additional costs incurred for the upgrades.

On February 15, we forwarded your request to the Smithsonian General Counsel to respond. It is our general practice to allow the document-generating entity to externally produce the requested information. We understand that the General Counsel has started the process of collecting the responsive documents and that the Smithsonian has contacted your staff to make them available.

We share your concerns that the Smithsonian must use its limited resources prudently. For this reason, we have conducted periodic audits and reviews of Smithsonian travel expenses and travel management. For example, we have issued audits of travel expenses of the Smithsonian senior-level staff and the Board of Regents.¹ At the request of Congress, we have reviewed, among other things,

¹ *Travel Oversight*, A-08-02 (Jan. 23, 2009; <http://www.si.edu/Content/OIG/Audits/A-08-02.pdf>); *Audit of Travel Expenses of the Board of Regents*, A-10-08 (Jan. 8, 2010; <http://www.si.edu/Content/OIG/Audits/A-10-08.pdf>); and *Audit of Travel Expenses of the Board of Regents*, A-11-04 (Jan. 14, 2011; <http://www.si.edu/Content/OIG/Audits/A-11-04.pdf>).

The Honorable Charles E. Grassley
February 22, 2012
Page 2

the travel expenses of the former director of the National Museum of the American Indian.² We also have reviewed the 2006 and 2007 expenses of the former Secretary and former Chief Executive Officer of the Smithsonian Business Ventures.³ In addition, we are entering the final stages of our audit of non-senior staff travel management.⁴ Finally, we have recently initiated our third audit of the Regents' travel expenses.⁵

It is important for us to continue our oversight of Smithsonian's travel expenses and travel management. As discussed with your staff last week, we will evaluate the most effective method for addressing the issues raised in your letter.

Please do not hesitate to call me at 202.633.7050 if you have any questions.

Sincerely,



Scott S. Dahl
Inspector General

Enclosure

cc: The Honorable Charles E. Schumer
Chairman
Committee on Rules and Administration
United States Senate

The Honorable Lamar Alexander
Ranking Member
Committee on Rules and Administration
United States Senate

² *Review of W. Richard West, Jr.* (Oct. 28, 2008);
http://www.si.edu/Content/OIG/Audits/WRW_TravelReview.pdf).

³ *Review of the Former Secretary's Expenses*, A-08-01a (Jul. 3, 2008);
<http://www.si.edu/Content/OIG/Audits/SecretaryAUPFY06-7.pdf>); and *Review of the Former SBV CEO's Expenses*, A-08-01b (Jul. 7, 2008);
<http://www.si.edu/Content/OIG/Audits/SBVCEOAUPFY06-7.pdf>). Smithsonian Business Ventures became Smithsonian Enterprises in 2008.

⁴ *Announcement of Audit of Staff Travel*, A-11-07 (Apr. 1, 2011);
<http://www.si.edu/Content/OIG/Announcements/A-11-07.pdf>).

⁵ *Announcement of Audit of Travel Expenses of the Board of Regents*, A-12-04 (Feb. 8, 2012);
<http://www.si.edu/Content/OIG/Announcements/A-12-04.pdf>).



Smithsonian Institution

Office of the Inspector General

April 27, 2012

Via Electronic Transmission

Honorable Darrell Issa
United States House of Representatives
Committee on Oversight and Government Reform
2157 Rayburn House Office Building
Washington, DC 20515-6143

Dear Chairman Issa:

We received your letter, dated April 4, 2012, in which you requested information about our open and unimplemented recommendations. The following is our response to your inquiry.

1. Identify the current number of open and unimplemented IG recommendations.

We have 60 open and unimplemented recommendations, of which 8 are past-due and 52 have implementation dates that have not yet passed.

2. For those recommendations that have an estimated cost savings associated with them, identify each recommendation, the date it was first recommended, and the total estimated cost savings your office believes would be possible if agency management implemented the recommendation.

We do not have any open recommendations that have quantifiable cost savings. However, we are tracking cost savings associated with a closed recommendation from the Administration of the Workers Compensation Program audit. The potential cost saving of that recommendation is approximately \$4.2 million.

3. Of the open and unimplemented recommendations identified, which does your office consider to be the three most important? For each identify:

- a. The status of the recommendation, including whether agency management has agreed or disagreed with the recommendation;*
- b. The cost savings associated with the recommendation (if applicable); and,*
- c. Whether there are plans to implement the recommendation in 2012.*

We believe that three areas we have audited are of particular concern: security of information systems; privacy; and stewardship of museum collections. The Smithsonian has agreed with our recommendations in these areas. Accordingly, we consider the following sets of open and unimplemented recommendations to be the most important.

Security of Information Systems

We have issued a series of recommendations to improve the security and integrity of the Institution's information systems. The following are some of the more important open recommendations:

- Based on the type of personally identifiable information (PII) stored in the system, re-assess the security categorization for major systems currently categorized as low-impact systems;
- Ensure that all systems are addressed in system security plans in accordance with OMB and NIST guidelines;
- Establish procedures to ensure existing policies requiring the use of standard configuration baselines are implemented and enforced; and
- Implement controls to ensure that all Smithsonian-owned laptops/mobile devices that may be used to store sensitive information are secured with an appropriate encryption technology.

The Smithsonian has agreed to implement these recommendations in this calendar year.

Privacy

We have issued a series of recommendations to strengthen the Institution's privacy program. In 2010, the Smithsonian hired a Privacy Officer who is in the process of building a privacy program. We recently met with the Privacy Officer and the Under Secretary for Finance and Administration (USF&A) to discuss the ten outstanding privacy recommendations. These recommendations include:

- Reducing the PII holdings to the extent practicable;
- Developing and implementing privacy policies and procedures to support an overall privacy program that address privacy-related risks, that safeguards documents with PII, and that identifies and documents PII used by the Smithsonian;
- Enforcing compliance with new and existing privacy policies related to the protection of sensitive documents containing PII; and
- Developing and implementing procedures for conducting privacy impact assessments.

We will continue to work with the Privacy Officer and the USF&A to prioritize these recommendations, determine if any of them are no longer relevant, and discuss a plan of action to close these recommendations.

Stewardship of Museum Collections

We have issued a series of recommendations to improve the stewardship of the collections at several Smithsonian museums. The recommendations pertain to collection practices such as accurate inventories, appropriate preservation programs, and adequate security. This year, we expect the Smithsonian to develop and refine catalog standards for completing object records, as well as to convert manual records to electronic formats. In addition, we anticipate management will develop a prioritized plan for addressing a pan-

The Honorable Darrell Issa
April 27, 2012
Page 3

Institutional collections storage needs. However, as we mentioned last year, improving the collections management practices will require a long-term commitment on the part of the museums.

4. Identify the number of recommendations your office deems accepted and implemented by the agency during the time period from April 7, 2011, to the present.

From April 7, 2011 to the present, we have closed 30 recommendations after they were accepted and implemented by the Smithsonian.

Please do not hesitate to call me on 202.633.7050 if you have any questions or if you would like to discuss our work.

Sincerely,



Scott S. Dahl
Inspector General

cc: The Honorable Elijah E. Cummings, Ranking Member



Smithsonian Institution

Office of the Inspector General

August 22, 2012

Via Electronic Transmission

Honorable Darrell Issa
United States House of Representatives
Committee on Oversight and Government Reform
2157 Rayburn House Office Building
Washington, DC 20515-6143

Dear Chairman Issa:

We received your letter, dated August 3, 2012, in which you requested information how we keep Congress fully and currently informed concerning fraud and other serious problems, abuses, and deficiencies. The following is our response to your inquiry.

1. Since January 1, 2009, have you issued any seven-day letters? If yes, please describe the matters involved.

We have not issued any seven-day letter since January 1, 2009.

2. Since January 1, 2009, have there been any serious or flagrant problems at your agency that were not reported to Congress? If yes, please describe the matters and explain why Congress was not informed.

Since January 1, 2009, there have not been any serious or flagrant problems at the Smithsonian that were not reported to Congress.

3. Please explain what you and your staff understand section 4(a)(5) of the IG Act to require.

As part of our responsibilities under IG Act § 4(a)(5), we have active relationships with the House and Senate Committees on Appropriations, the Committee on House Administration, the Senate Committee on Rules and Administration, and the House Subcommittee on Economic Development, Public Buildings & Emergency Management. We meet with these committees at least twice a year to brief them on our audit and investigative matters. We also alert these committees about any potential controversial issue as they arise. Finally, we discuss with these committees about their concerns and possible risk areas at the Smithsonian.

Furthermore, we proactively engage with our six Congressional Regents: Senator Thad Cochran; Senator Patrick Leahy; Senator Jack Reed; Representative Xavier Becerra; Representative Sam Johnson; and Representative Steven LaTourette. We have periodic briefings with their staff and promptly notify them of serious issues.

The Honorable Darrell Issa
August 22, 2012
Page 2

Lastly, we respond to Congressional requests for information. In addition to responding to your annual letter about our open recommendations, we provide Senators Charles Grassley and Tom Coburn with semiannual information about our non-public audits and investigations. Furthermore, we provide updates to individual members of Congress in areas of their expressed interests. For example, in light of Senator Grassley's letter to our office earlier this year about travel-related issues, we initiate frequent briefings with his staff on the progress of our pending review on senior executive travel.

Please do not hesitate to call me on 202.633.7050 if you have any questions.

Sincerely,

A handwritten signature in black ink, appearing to read "SDahl", written in a cursive style.

Scott S. Dahl
Inspector General

cc: The Honorable Elijah E. Cummings, Ranking Member



Smithsonian Institution

Office of the Inspector General

December 27, 2012

Via Electronic Transmission

The Honorable Darrell Issa
Chairman
Committee on Oversight and Government Reform
2157 Rayburn House Office Building
Washington, DC 20515-6143

The Honorable Elijah E. Cummings
Ranking Member
Committee on Oversight and Government Reform
2471 Rayburn House Office Building
Washington, DC 20515-6143

Dear Chairman Issa and Ranking Member Cummings:

We received your letter, dated December 5, 2012, in which you requested information about our work plan and high-priority recommendations. The following is our response to your inquiry.

1. Identify your office's five highest-priority short-term recommendations to improve agency efficiency and reduce waste.

Our five highest-priority short-term recommendations are:

- A. Ensure National Museum of African American History and Culture's (NMAAHC) project team members agree about their collective priorities and actions by having key NMAAHC project team members prioritize project constraints, such as the schedule and budget, and concur with the risks involved in using the fast-track delivery method for construction (*Greater Efficiencies and Increased Oversight Needed for the NMAAHC Construction Management Process*, Report No. A-12-03, September 28, 2012);
- B. Improve the efficiency and oversight of awarding construction packages for the NMAAHC project and future Smithsonian projects by developing, documenting, and implementing policies and procedures for awarding construction packages to incorporate requirements that pertinent offices: (1) timely receive the construction contractor's price proposals; (2) jointly agree on the percentage of design and any other requirements necessary to authorize the contractor to begin work; (3) modify the contracts to stipulate the agreed-upon requirements; (4) adequately monitor the contractor to determine whether the contractor competed all contract allowances exceeding \$50,000; and (5) document the review of bids for self-performed work (*Greater Efficiencies and Increased Oversight Needed for the NMAAHC*

Construction Management Process, Report No. A-12-03, September 28, 2012);

- C. Improve oversight of the Smithsonian Folkways Recordings' (Folkways) inventory by reviewing current inventory documentation to identify actual account balances and, if necessary, rebuilding the accounts to accurately reflect assets (*The Center for Folklife and Cultural Heritage Needs to Improve Its Financial Management Operations*, Report No. A-11-09, September 28, 2012);
- D. Improve oversight of the Folkways accounts receivable by reviewing NetSuite accounts receivable to identify the actual account balances and, if necessary, rebuilding the accounts to accurately reflect assets (*The Center for Folklife and Cultural Heritage Needs to Improve Its Financial Management Operations*, Report No. A-11-09, September 28, 2012); and
- E. Reduce Smithsonian's information technology (IT) vulnerabilities and strengthen its ability to protect IT systems by ensuring that continuous monitoring of major systems is operating effectively and that major systems points of contact provide periodic reports on monitoring and reporting on account management activities and audit log reviews (*Smithsonian Institution Information Security Program*, Report No. A-11-05, May 15, 2012).

2. Identify your office's five highest-priority long-term recommendations to improve agency efficiency and reduce waste.

Our five highest-priority long-term recommendations are:

- A. Promote collaboration between the Retail and Corporate divisions and improve employee morale by ensuring key Smithsonian Enterprises officials and museum partners collaborate on Retail's capital projects. Both divisions should demonstrate their understanding of the benefits, costs, and timelines associated with each project prior to its inclusion in the budget (*Smithsonian Enterprises Financial Management*, Report No. A-10-12, September 7, 2011);
- B. Better ensure long-term preservation of the Smithsonian collections by developing a prioritized plan for addressing collections storage needs Institution-wide (*Collections Stewardship of the National Collections at the National Museum of American History—Preservation and Physical Security*, Report No. A-10-03-2, September 30, 2011);
- C. Address collection resource shortages by (1) conducting staffing assessments for the Office of Curatorial Affairs to identify deficiencies and develop a plan, and (2) ensuring that the budget requests reflect the needs identified in the assessments (*Collections Stewardship of the National Collections at the National Museum of American History—Inventory Controls*, Report No. A-10-03-1, February 8, 2011);

- D. Strengthen adherence to personal property management policies and procedures by conducting regular compliance reviews, including ensuring that individuals are being held accountable for missing property (*Personal Property Accountability*, Report No. A-09-06, November 18, 2009); and
- E. Ensure sufficient oversight and accountability for the Smithsonian's overall social media by appointing a pan-Institutional Web and new media leader, and giving that person the authority and visibility to lead change (*Use of Social Media*, Report No. A-11-01, September 28, 2011).

3. *Describe whether and in what ways agency management solicits input from you and your office on how to improve efficiency and reduce waste.*

Agency management has solicited input from me and the OIG on how to improve efficiency and reduce waste using several different methods. In my regular meetings with the Secretary, other Smithsonian senior officials, and the Board of Regents, we not only discuss the office's work, but we also explore avenues for the Smithsonian to improve and cut waste. One of the regular meetings is with the the Under Secretary for Finance and Administration and Chief Financial Officer; in those meetings, we discuss ways to advance the implementation of our recommendations, some of which relate to efficiency and effectiveness. In addition, Smithsonian units have occasionally asked the OIG to review their operations. Moreover, management regularly provides the OIG with draft policies—such as technical notes, the privacy program guidance, and monthly draft directives slated for review—to obtain our comments and suggestions; again, some of these draft policies go toward improving the Smithsonian.

In our interactions with management for creating our annual audit plan and for indentifying the top management challenges, we sought and received management's input on improving Smithsonian's operations and programs.

Please do not hesitate to call me on 202.633.7050 if you have any questions.

Sincerely,



Scott S. Dahl
Inspector General



Smithsonian Institution

Office of the Inspector General

March 29, 2013

The Honorable Henry A. Waxman
Co-Chair, Bicameral Task Force on Climate Change
Ranking Member, Committee on Energy and Commerce
United States House of Representatives
2204 Rayburn House Office Building
Washington, DC 20515

The Honorable Sheldon Whitehouse
Co-Chair, Bicameral Task Force on Climate Change
Chairman, Subcommittee on Oversight, Committee on Environment and
Public Works
United States Senate
530 Hart Senate Office Building
Washington, DC 20510

The Honorable Edward J. Markey
Co-Chair, Bicameral Task Force on Climate Change
Ranking Member, Committee on Natural Resources
United States House of Representatives
2108 Rayburn House Office Building
Washington, DC 20515

The Honorable Benjamin L. Cardin
Co-Chair, Bicameral Task Force on Climate Change
Chairman, Subcommittee on Water and Wildlife, Committee on Environment
and Public Works
United States Senate
509 Hart Senate Office Building
Washington, DC 20510

Dear Representative Waxman, Senator Whitehouse, Representative Markey,
and Senator Cardin:

We received your letter, dated February 25, 2013, in which you made a two-part request about the climate change initiatives at the Smithsonian Institution (Smithsonian). In part one, you requested information about the applicability of climate change laws and regulations to the Smithsonian and whether Smithsonian is meeting those standards. In part two, you asked for an assessment of Smithsonian's authorities to reduce emissions and strengthen resiliency. The following is our response to your inquiry.

Part 1

1. Identify the existing requirements in legislation, regulation, executive order, and other directives that may apply to the Smithsonian.

The Smithsonian's Office of the General Counsel (OGC) has advised that several statutes, regulations, and executive orders relating to climate change

do not apply to the Smithsonian, but the Smithsonian adheres to their principles as a matter of policy.

For example, regarding the Energy Independence and Security Act (EISA) of 2007, Pub. L. 110-140, which amended the National Energy Conservation Policy Act (NECPA), codified at 42 U.S.C. § 8251 *et seq.*, the Smithsonian determined that EISA and NECPA did not apply to the Smithsonian. This determination was based on its position that the (1) Smithsonian was not an “agency” covered by the Act, and (2) Smithsonian’s buildings are not “federal buildings” as defined by the Act.¹ Nevertheless, the Smithsonian stated its commitment to plan, design, construct, maintain, and operate its buildings and facilities consistent with EISA and NECPA to the maximum extent practical.² The Smithsonian made a similar commitment to other federal environmental and energy management requirements, such as the Energy Policy Act of 2005 and the High Performance and Sustainable Buildings Memorandum of Understanding of 2006.

Additionally, while the Smithsonian is a trust instrumentality of the United States, and not an executive branch agency, it has committed to the strategic objectives of Executive Orders 13423 and 13514.

2. Assess whether the Smithsonian is meeting those requirements.

According to the Smithsonian’s 2011 Scorecard on Sustainability and Energy Performance, it is on-track towards meeting the following goals: (1) scopes 1, 2, and 3 greenhouse gas emission reductions; (2) use of renewable energy; (3) reduction in potable water intensity; and (4) reduction in fleet petroleum use. It is, however, not on-track towards meeting the goals of reduction in energy intensity and green buildings.

3. If the Smithsonian is not fully meeting the requirements, make recommendations for improving its performance.

The Smithsonian has several resource-intensive activities, such as providing and maintaining suitable environments for storing, caring, and preserving 137 million collection items, more than 2,000 live animals, and historic buildings; operating food service, museum shops, theaters, and other services to accommodate 30 million visitors annually; hosting hundreds of special events each year; and conducting scientific research. In light of this difficult challenge, our office will continue to assess the Smithsonian’s performance in the areas of energy efficiency and sustainability and will conduct high-priority audits as needed. In our current audit plan, we are

¹ NECPA defined “federal building” as “any building, structure, or facility, or part thereof, including the associated energy consuming support systems, which is constructed, renovated, leased, or purchased in whole or in part for use by the Federal Government and which consumes energy.” 42 U.S.C. § 8259(6). The Smithsonian’s buildings and land are generally treated as the property of the Smithsonian, and they are separate and distinct from property of the federal government.

² http://www.ofeo.si.edu/ae_center/design-sustainability.html (visited on March 27, 2013).

scheduled to assess the effectiveness of the Smithsonian's fleet management and will make recommendations to help the Smithsonian achieve the President's sustainability goals.

Part 2

1. Assess the authorities the Smithsonian has to reduce emissions of heat-trapping pollution.

The Smithsonian does not have regulatory authorities to reduce emissions of heat-trapping pollution according to OGC.

2. Assess the Smithsonian's authorities to make the nation more resilient to the effects of climate change.

According to OGC, the Smithsonian does not have regulatory authorities to make the nation more resilient to the effect of climate change.

3. Assess the most effective additional steps the Smithsonian could take to reduce emissions or strengthen resiliency.

Since the Smithsonian is not a regulatory entity, we have not assessed additional steps that it could take to reduce emissions or strengthen. However, the Smithsonian's mission is "the increase and diffusion of knowledge." Through its museum and research facilities and staff, the Smithsonian is uniquely positioned to study and educate the public about sustainability, including how to reduce emissions and strengthen resiliency. At the time of his installation in 2009, the Smithsonian Secretary stated his intent to make sustainability as one of his top priorities:

Through the long-standing efforts of our scientists, the Smithsonian has been among the leaders in understanding climate change and biodiversity issues. Now we need to take two more steps. The first recognizes that these problems are not simple, and that communicating the complex science behind the dynamic processes is difficult, but necessary. Now is the time for the Smithsonian to extend its reach by communicating the research in such a way so that our political leaders and the public can understand it, so that global action can be mobilized to help our planet become more sustainable. This will position the Smithsonian to increase the impact of the remarkable efforts of our scientists. The second step is to bring our world-wide commitment to sustainability to our doorstep. We will commit to an overarching approach to sustainability for our museums and facilities here on the Mall and wherever in the world the Smithsonian has a footprint or a building.³

The Smithsonian has taken many steps in furthering the public's knowledge about sustainability. As one of the four grand challenges in its strategic

³ <http://www.si.edu/Content/Pdf/About/Secretary/Clough-Installation-Speech.pdf>.

The Honorables Henry Waxman, Sheldon Whitehouse, Edward Markey, and Benjamin Cardin
March 29, 2013
Page 4

plan, the Smithsonian has undertaken to "understanding and sustaining a biodiverse planet." To achieve this goal, a consortium was established to support projects and programs that combine expertise across scientific unit and biodiversity disciplines to investigate natural processes and their responses to change. Among its activities, the consortium hosted a symposium on the *Limits to Growth* which offered perspectives on challenges to building a sustainable planet.

We encourage the Smithsonian to continue its commitment to sustainability and to take further steps to increase knowledge about these important issues.

Please do not hesitate to call me on 202.633.7050 if you have any questions.

Sincerely,

A handwritten signature in black ink, appearing to read "Scott S. Dahl". The signature is fluid and cursive, with the first name "Scott" and last name "Dahl" clearly distinguishable.

Scott S. Dahl
Inspector General



Smithsonian Institution

Office of the Inspector General

June 27, 2013

Via Electronic Transmission

Honorable Darrell Issa
United States House of Representatives
Committee on Oversight and Government Reform
2157 Rayburn House Office Building
Washington, DC 20515-6143

Honorable Elijah E. Cummings
United States House of Representatives
Committee on Oversight and Government Reform
2471 Rayburn House Office Building
Washington, DC 20515-6143

Dear Chairman Issa and Ranking Member Cummings:

We received your letter, dated June 17, 2013, in which you requested information about our open and unimplemented recommendations. The following is our response to your inquiry.

1. Identify the current number of open and unimplemented IG recommendations.

We have 37 open and unimplemented recommendations.

2. Identify the cumulative estimated cost savings associated with the current number of open and unimplemented IG recommendations.

We do not have a cumulative estimated cost savings associated with the current open and unimplemented IG recommendations. However, we are tracking cost savings associated with a closed recommendation from the Workers' Compensation Program audit.

3. For those recommendations that would result in cost savings if implemented, specify the recommendation, the date the recommendation was made, and estimate the cost savings that your office believes would be realized if agency management implemented the recommendation.

On March 24, 2009, we issued the Administration of the Workers' Compensation Program audit report. One of the recommendations from that audit was to seek corrective action, as appropriate, from the Office of Workers' Compensation Programs for cases identified in our sample. While we closed this recommendation on February 17, 2010, we are still tracking costs savings associated with it. The potential cost saving of this recommendation is approximately \$2,325,045.

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SI-000064

4. Which three open and unimplemented recommendations does your office consider to be most important or urgent? For each, identify:

- a. The status of the recommendation, including whether agency management has agreed or disagreed with the recommendation and the expected date of implementation; and
- b. The cost savings associated with the recommendation (if applicable).
- c. Any written report or other document that accompanied the recommendation.

We believe that three areas we have audited are of particular concern: security of information systems; privacy; and stewardship of museum collections. The Smithsonian has agreed with our recommendations in these areas. Accordingly, we consider the following sets of open and unimplemented recommendations to be the most important.

Security of Information Systems

We have issued a series of recommendations to improve the security and integrity of the Smithsonian's information systems. The following are the most important open recommendations:

- Work with system managers to more quickly test security patches and updates and remediate all critical and high-risk vulnerabilities identified in the vulnerability assessment that OIG provided to management.¹
- Direct IT staff to determine which laptop computers in their inventory may be used to store sensitive data and, with assistance from OCIO, configure those computers with whole drive encryption.²

Management has concurred with the recommendations and developed a plan to implement them. We believe that the proposed actions, when implemented, will meet the intent of these recommendations.

Privacy

We have issued a series of recommendations to strengthen the Smithsonian's privacy program.³ The following are the most important pending privacy recommendations:

- Develop, document, and implement privacy policies and procedures to support an overall privacy program that adequately addresses privacy-related risks. Additionally, privacy policies for websites should include

¹ FY 2012 Evaluation of the Smithsonian's Information Security Program, <http://www.si.edu/Content/OIG/Audits/2013/A-12-08.pdf> (issued on June 3, 2013). Please let us know if you wish to have hard copies of the pertinent reports.

² Management Advisory Regarding Portable Computer Encryption, <http://www.si.edu/Content/OIG/Audits/2013/M-13-01.pdf> (issue on March 4, 2013).

³ Privacy Program, <http://www.si.edu/Content/OIG/Audits/2009/IBA-08-08.pdf> (issued on May 29, 2009).

practices such as conducting risk assessments and requiring a link to the Smithsonian privacy policy.

- Establish and implement requirements to reduce holdings of personally identifiable information (PII) to the extent practicable.

The closure deadline for these recommendations is August 2013. We have been monitoring the Privacy Office's progress on the above recommendations through monthly updates.

Stewardship of Museum Collections

We have issued a series of recommendations to improve the stewardship of the collections at several Smithsonian museums. The recommendations pertain to collection practices such as accurate inventories, appropriate preservation programs, and adequate security. The following are the most important pending recommendations:

- Develop a succession plan to address potential staff turnover in OCA. This plan should include specific human capital and training needs that will enhance collection management at the museum and should align with museum and Institution strategic goals at the National Museum of American History.⁴
- Develop a prioritized plan for addressing collections storage needs Institution-wide that identifies possibilities for acquiring storage space for the National Museum of American History.⁵

These recommendations are due later this year. In the meantime, we will initiate a new audit of the Smithsonian's progress towards a pan-Institutional approach to collections care.

Please do not hesitate to call me on 202.633.7050 if you have any questions or if you would like to discuss our work.

Sincerely,



Scott S. Dahl
Inspector General

⁴ *Collections Stewardship of the National Collections at the National Museum of American History – Inventory Controls*, <http://www.si.edu/Content/OIG/Audits/2011/A-10-03.pdf> (issued on February 8, 2011).

⁵ *Collections Stewardship of the National Collections at the National Museum of American History – Preservation and Physical Security*, <http://www.si.edu/Content/OIG/Audits/2011/A-10-03-2.pdf> (issued on September 30, 2011).